

填寫此表格的重要說明 Important instructions for completing this form

您所索取的表格已隨此頁附上。您可選擇使用電腦來輸入資料，然後列印表格，或先列印表格，然後用筆填寫。請以英文填寫表格。

The form you requested follows this page. You can either complete it on your computer and then print it out, or print it out first and fill it in by hand. Please complete the form in English.

請依照以下簡易步驟填寫您的表格：

Follow these easy steps to complete your form:

1. 用捲軸往下方版面移動，於相對的欄位輸入所需資料。

Scroll down and type the requested information in the corresponding field.

名字 Name (First)
John

- 您可使用您的滑鼠或“Tab”鍵於欄位之間移動。
You can move among the fields by using your mouse or the “Tab” key.
- 如果您想刪除所有已填寫資料的欄位，可按此鍵：
If you'd like to clear all the fields you've completed, click this button:

刪除 CLEAR

2. 當您填妥表格後，請按此鍵：

When you've completed the form, click this button:

列印 PRINT

**請注意：Adobe® Reader® 不能讓您儲存已鍵入的資料。因此，請緊記填妥後立即列印您的表格。
Please note: Adobe® Reader® does not allow you to save your work. It's very important that you print out your form immediately after completing it.**

3. 填妥表格後，請覆核、簽署並寄往下列其中一個地址：

When your form is complete, please review, sign and mail it to one of the following addresses:

標準美國郵遞：

Standard U.S. mail:

Attn: International Operations
Charles Schwab & Co., Inc.
P.O. Box 2912
Phoenix, AZ 85062-2912
USA

國際郵遞/翌日快遞：

International mail/overnight delivery:

Attn: International Operations
Charles Schwab & Co., Inc.
2423 E. Lincoln Drive
Phoenix, AZ 85016-1215
USA

請確保您隨表格附上任何相關文件及資料(例如開設新帳戶的首次存款支票)。如果您有任何疑問或需要協助，請致電 **1-877-686-1937** (美國境內) 或 **+1-415-667-8400** (美國境外)。

Be sure to enclose any accompanying materials with your form (such as a check for an initial deposit to open a new account). Should you have any questions or need help, just call **1-877-686-1937** (inside the U.S.) or **+1-415-667-8400** (outside the U.S.).

購買海外投資股份授權書

Authorization to Purchase Offshore Investment Shares

Process By
Schwab Int'l
Operations Only

charles SCHWAB
嘉信理財

www.schwab-global.com
1-877-686-1937 (inside the U.S.) 美國境內
+1-415-667-8400 (outside the U.S.) 美國境外

第一頁, 共四頁
Page 1 of 4

- 此表格必須在美國境外簽署並從美國境外郵寄至嘉信理財®。
This form must be signed and sent from outside the United States.
- 欲購買海外投資基金股份的投資者, 請詳閱並填妥表格內適用於閣下的A、B和C部分。
Investors wanting to purchase Offshore Investment Fund Shares should read and complete Sections A, B and C, as applicable.
- 若有關的投資公司沒有依據1940年投資公司法案在美國註冊, 而其股份也沒有依據1933年證券法案在美國註冊, 這投資項目便屬「海外基金」。所有的購買均請填妥以下A部分。欲購買任何自動轉撥的基金, 請填妥B部分。擁有美國地址的帳戶持有人請填妥C部分。

If an investment company is not registered in the United States under the Investment Company Act of 1940 and its shares are not registered in the United States under the Securities Act of 1933, then it is an "Offshore Fund." Complete Section A for all purchases. Complete Section B for purchase of any Sweep Fund. Complete Section C for accounts with U.S. addresses.

嘉信帳戶號碼(若知道) Schwab Account Number (if known)

A部份 Section A

本人(我們)委任嘉信理財公司為本人(我們)的代理人處理有關海外基金的購買、保管、出售及收納派息等事宜。同時, 本人(我們)在以下作出授權的宣言。該宣言在本人(我們)於下方簽名欄列印的日期當天及在每一次購買海外基金之日期生效。

I (we) appoint Charles Schwab & Co., Inc. as my (our) agent to purchase, hold, redeem and receive distributions from Offshore Funds, and I (we) make the following representations, as of the date below and on each date on which a purchase of Offshore Funds is made.

本人(我們)保證:

I (we) certify the following:

- 在本人(我們)逗留在美國本土、領土或屬地期間, 沒有人向本人(我們)推介或提供買入海外基金的建議。
No person solicited or recommended the purchase of Offshore Funds while I was (we were) physically present in the United States or its territories or possessions.
- 本人(我們)並非美國人士(其定義在表格第三頁有詳細解述)。
I am (we are) not a U.S. person(s) (as defined on page 3 of this form).
- 按照美國稅務條例, 本人(我們)為免稅外籍人士, 同時在嘉信理財已有一份填妥的W-8代用表格, 或本人(我們)將會在遞交這份授權書時, 隨附一份填妥的W-8代用表格。
I am (we are) an exempt foreign person(s) under U.S. tax laws and have completed and given to Charles Schwab & Co., Inc. a Substitute Form W-8 or will complete and return it concurrently with this form.
- 若本人(我們)成為美國人士或按照美國稅務條例已經不屬於免稅外籍人士, 本人(我們)將會立即通知嘉信理財。
I (we) will notify Charles Schwab & Co., Inc. immediately if I (we) become a U.S. person(s) or am (are) no longer an exempt foreign person(s) under U.S. tax laws.

- 本人(我們)沒有/不會為美國人士或美國稅務條例指定的非免稅外籍人士的帳戶, 或為其利益, 或使用其資金代購海外基金的股份。
I (we) did not/will not purchase shares of Offshore Funds for the account or benefit of, or with funds provided by, a U.S. person or a person who is not an exempt foreign person under U.S. tax laws.
- 本人(我們)不會將海外基金的股份或利息轉存給任何美國人士或美國稅務條例指定的非免稅外籍人士。
I (we) will not transfer shares or interests in Offshore Funds to any U.S. person or a person who is not an exempt foreign person under U.S. tax laws.

本人(我們)並且保證:

I (we) further certify:

本人(我們)只會在身處於美國本土、領土或其屬地範圍之外, 才作任何購買海外基金的指令,

或

本人(我們)的海外基金交易將會由美國專業受託人執行, 而該受託人具備全權委託授權於本人(我們)帳戶內進行交易。

Any purchase order of Offshore Funds for my (our) account will be made only from outside the United States and its territories and possessions,

or

trades in Offshore Funds for my (our) account will be made by a U.S. professional fiduciary with discretionary authority to trade in my (our) account.

簽署及日期 Signature(s) and Date(s)

X

帳戶持有人/授權代理人簽署
Account Holder/Authorized Agent Signature

請以英文正楷填寫姓名
Print Name

日期
Date

X

其他帳戶持有人/授權代理人簽署
Additional Account Holder/Authorized Agent Signature

請以英文正楷填寫姓名
Print Name

日期
Date



B部份 Section B

短期流動自動轉撥基金。在填妥A部份後，要選擇從嘉信理財帳戶內的可用現金結餘(Free Credit Balance)中賺取收入的投資人士，請填妥B部份。(可用現金結餘的定義在帳戶協議書內有詳細註解。)

Short-Term Liquidity Sweep Fund. In addition to completing Section A, Section B is to be completed by investors who choose to earn income on the Free Credit Balance (as that term is defined in the Account Agreement) in their Schwab Account.

若司法條例許可，本人(我們)選擇把本人(我們)在嘉信理財帳戶內的可用現金結餘自動投資在嘉信理財美元流動資產基金(即自動轉撥股份)，如果本人(我們)運用www.schwab.co.uk網站開設本人(我們)的帳戶，本人(我們)同意通過打印此表格的www.schwab.co.uk網站為本人(我們)提供嘉信美元流動資產基金(Schwab U.S. Dollar Liquid Assets Fund)的主要投資者信息文檔(Key Investor Information Document)的電子副本。

If available in my (our) jurisdiction, I (we) elect to have the Free Credit Balance in my (our) Schwab Account automatically invested (i.e., swept) in shares of the Schwab U.S. Dollar Liquid Assets Fund, and if I (we) utilized the www.schwab.co.uk website to open my (our) account, I (we) consent to the provision to me (us) of an electronic copy of the Key Investor Information Document for the Schwab U.S. Dollar Liquid Assets Fund via www.schwab.co.uk, the website from which I (we) printed this form.

本人(我們)明白在本人(我們)的帳戶協議書有關嘉信理財自動轉撥基金的部份中說明的條款和細則(包括關於自動投資與接收)，適用於上述基金，並且本人(我們)同意遵守該條款和細則的約束。

I (we) understand that the terms and conditions, including those regarding automatic investment and reception, described in the Schwab Sweep Funds section of my (our) Account Agreement, apply to the above fund, and I (we) agree to be bound by such terms and conditions.

基金不能售予美國公民、美國居民、美國人士或愛爾蘭居民，或為上述人士持有。若帳戶持有人已為美國聯邦稅務局提供了必須的身份證明文件，在收納基金股息時，將不須繳付美國逆扣稅。基金在某些司法管轄情況下並不適用。

The fund may not be sold to or held by U.S. citizens, U.S. residents or U.S. persons, or by Irish residents. Distributions to investors who are not U.S. residents or citizens will not be subject to U.S. tax withholding, provided the account holder(s) has (have) provided documentation of status required by the U.S. Internal Revenue Service. The fund is not available in certain jurisdictions.

本人明白若英文合約內容與中文翻譯本有任何分歧和異議，當以英文合約為準。

I understand in the event of any conflict or inconsistency between the English terms of the contract and Chinese translation, the English terms of the contract shall control.

簽署及日期 Signature(s) and Date(s)

X

帳戶持有人/授權代理人簽署
Account Holder/Authorized Agent Signature

請以英文正楷填寫姓名
Print Name

日期
Date

X

其他帳戶持有人/授權代理人簽署
Additional Account Holder/Authorized Agent Signature

請以英文正楷填寫姓名
Print Name

日期
Date

若閣下的帳戶包含美國地址，必須填妥此表格內的C部份，以證明閣下符合購買海外基金的資格。我們只會郵寄確認通知書及月報表至客戶的美國地址，但任何有關海外基金的資料則不包括在內。

If your account has a U.S. address, you must complete Section C of this form to certify eligibility to purchase Offshore Funds. Only confirmations and statements, but no information concerning Offshore Funds, will be sent to a customer address within the United States.

C部份
Section C

(唯獨擁有美國地址的帳戶持有人才須填妥這部份。)
(Complete this section ONLY if your account has a U.S. address.)

本人謹此保證以下資料為本人的確實國籍和居所：
I hereby certify my citizenship and residence are as follows:

姓名 Name	國籍 Citizenship
地址 Address	

其他帳戶持有人資料
Additional Account Holder

姓名 Name	國籍 Citizenship
地址 Address	

本人要求確認通知書和月報表郵寄到以下指定的美國地址：
I request that confirmations and statements be sent to the following U.S. address:

姓名 Name	國籍 Citizenship
地址 Address	

簽署及日期 Signature(s) and Date(s)

X
帳戶持有人/授權代理人簽署
Account Holder/Authorized Agent Signature
請以英文正楷填寫姓名
Print Name
日期
Date

X
其他帳戶持有人/授權代理人簽署
Additional Account Holder/Authorized Agent Signature
請以英文正楷填寫姓名
Print Name
日期
Date

對非美國人士的規定
Requirements to Be a Non-U.S. Person

帳戶持有人類別
Type of Account Holder

自然人
Natural Person

(或由自然人授權註冊投資顧問[簡稱RIA]
代為管理的帳戶)
(or Registered Investment Advisor [RIA] Discretionary
Account for a Natural Person)

合夥或註冊公司
Partnership or Corporation

(或由合夥或註冊公司授權註冊投資
顧問代為管理的帳戶)
(or RIA Discretionary Account for Partnership or Corporation)

符合規定，如果：
Satisfies Requirements If:

自然人非美國居民。
Natural person is not a U.S. resident.

在任何外國法制規定下組織或成立的
合夥或註冊公司。
Partnership or corporation is organized or incorporated
under the laws of any foreign jurisdiction.

不符合規定，如果：
But Does Not Satisfy If:

自然人為美國公民。
Natural person is a U.S. citizen.

由為美國人士組織或成立的合夥或註冊
公司，並且其目的主要為投資在沒有依
據1933年證券法案註冊的證券。
Partnership or corporation is organized or incorporated by a U.S.
person principally for the purpose of investing in securities not
registered under the Securities Act of 1933.



其他類型的帳戶持有人
Other Types of Account Holder

1. 信託

Trust

符合規定，如果：
Satisfies requirements if:

所有受託人必須為非美國人士，或(i)註冊投資顧問為受託人；(ii)受託人為非美國人士，並在信託資產的投資交易擁有全部或共享權力；及(iii)全部信託受益人均為非美國人士(若該信託可被撤銷，則其信託資產授予人也必須為非美國人士)。

Either no trustee is a U.S. person or (i) RIA acts as a trustee; (ii) a trustee who is not a U.S. person has sole or shared investment discretion with respect to the trust assets; and (iii) no beneficiary of the trust is a U.S. person (and the settlor is not a U.S. person if the trust is revocable).

2. 遺產

Estate

符合規定，如果：
Satisfies requirements if:

所有遺產執行人或管理人必須為非美國人士，或(i)註冊投資顧問為執行人或管理人；(ii)遺產執行人或管理人均為非美國人士，並在遺產的資產方面擁有全部或共享的投資權力；及(iii)該遺產受外國法制監管。

Either no executor or administrator is a U.S. person or (i) RIA is an executor or administrator; (ii) an executor or administrator of the estate who is not a U.S. person has sole or shared investment discretion with respect to the assets of the estate; and (iii) estate is governed by foreign law.

3. 僱員福利計劃

Employee Benefit Plan

符合規定，如果：
Satisfies requirements if:

計劃依據外國司法管轄權的法制、常規及司法文件設立和監管。

The plan is established and administered in accordance with the law, customary practices and documentation of a foreign jurisdiction.

4. 駐美國境外的美國人士的機構或分行

Agency or Branch of a U.S. Person Located Outside the U.S.

符合規定，如果：
Satisfies requirements if:

(i)為合法的商業理由運作的機構或分行；同時(ii)該機構或分行是承辦保險或銀行業務並受當地保險或銀行法制的永久規管。

(i) Agency or branch operates for valid business reasons; and (ii) agency or branch is engaged in the business of insurance or banking and subject to substantive insurance or banking regulation in jurisdiction where located.

嘉信理財職員專用 FOR CHARLES SCHWAB USE ONLY												
<input type="checkbox"/> 158 Offshore Authorization—Section A			<input type="checkbox"/> 159 USD2Z NRA Application—Section B			<input type="checkbox"/> 160 U.S. Address—Foreign Residence—Section C						
Source Code						Branch Office and Account Number						